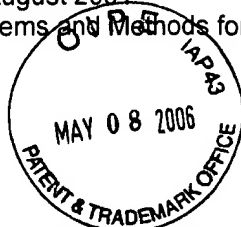


## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Thompson et al.  
Serial No: 09/935,908  
Filed: 23 August 2001  
For: Systems and Methods for Applying Ultrasonic Energy to the Thoracic Cavity

Group Art Unit: 3737  
Examiner: Ruth S. Smith

Mail Stop RCE  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT BEFORE MAILING DATE  
OF EITHER A FINAL ACTION OR NOTICE OF ALLOWANCE (37 CFR 1.97(c))**

NOTE: "An information disclosure statement shall be considered by the Office if filed ... before the mailing date of either (1) a final action under S 1.113 or (2) a notice of allowance under S 1.311, whichever occurs first, provided the statement is accompanied by either a certification as specified in paragraph (e) of this section or the fee set forth in S 1.17(p)." 37 CFR 1.97(c).

NOTE: "If a final action or notice of allowance is mailed in an application and later withdrawn, the application will be considered as not having had a final action or notice of allowance mailed for purposes of considering an information disclosure statement." Notice of April 20, 1992 (1138 O.G. 37-41, 39).

NOTE: "If information submitted during the period set forth in 37 CFR 1.97(c) with a certification is used in a new ground of rejection on unamended claims, the next Office action will not be made final since in this situation it is clear that applicant has submitted the information to the office promptly after it has become known and the information is being submitted prior to a final determination on patentability by the Office. However, the information submitted with a certification can be used in a new ground of rejection and the next Office action made final, [i]f the new ground of rejection was necessitated by amendment of the application by applicant. Where the information is submitted during this period with a fee, the examiner may use the information submitted, e.g., printed publication or evidence of public use, and make the next Office action final whether or not the claims have been amended, provided that no other new ground of rejection which was not necessitated by amendment to the claims is introduced by the examiner. See MPEP 706.07(a). If a new ground of rejection is introduced that is neither necessitated by an amendment to the claims nor based on the information submitted with the fee set forth in 37 CFR 1.17(p), the Office action shall not be made final." Notice of April 20, 1992 (1138 O.G. 37-41, 39).

WARNING: "A PETITION FOR SUSPENSION OF ACTION TO ALLOW APPLICANT TIME TO SUBMIT AN INFORMATION DISCLOSURE STATEMENT WILL BE DENIED AS FAILING TO PRESENT GOOD AND SUFFICIENT REASONS, SINCE 37 CFR 1.97 PROVIDES ADEQUATE RECOURSE FOR THE TIMELY SUBMISSION OF PRIOR ART FOR CONSIDERATION BY THE EXAMINER." NOTICE OF JULY 6, 1992 (1141 O.G. 63).

**TIME OF TRANSMITTAL OF ACCOMPANYING INFORMATION  
DISCLOSURE STATEMENT**

1. The information disclosure statement transmitted herewith is being filed AFTER THREE MONTHS OF THE FILING DATE OF THIS NATIONAL APPLICATION OR THE DATE OF ENTRY OF THE NATIONAL STAGE AS SET FORTH IN S 1.491 IN AN INTERNATIONAL APPLICATION OR AFTER THE MAILING DATE OF THE FIRST OFFICE ACTION ON THE MERITS, WHICHEVER EVENT OCCURRED LAST BUT BEFORE THE MAILING DATE OF EITHER:

- (1) a final action under § 1.113 or
  - (2) a notice of allowance under § 1.311,
- whichever occurs first.

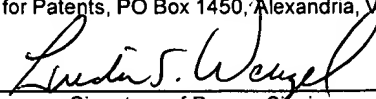
**CERTIFICATE OF MAILING (37 CFR 1.8a)**

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail, with sufficient postage, in an envelope addressed as follows: Mail Stop RCE, Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450, on 4 May 2006

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180.00 OP

  
Signature of Person Signing

Linda S. Wenzel

Type or Print Name of Person Signing

**CERTIFICATION OR FEE**

2. Accompanying this transmittal is  
(check either A or B below)  
A. ☐ a certification as specified in 37 CFR 1.97(e)  
OR  
B. ☒ the fee set forth in 37 CFR 1.17(p) for submission of an information disclosure statement under S 1.97(c). (\$180.00).

**FEE PAYMENT**

(complete this item, if applicable)

3. Applicant elects the option to pay the fee set forth in 37 CFR 1.17(p) for submission of an information disclosure statement under S 1.97(c) (\$180.00).

Fee due \$ 180.00

**METHOD OF PAYMENT OF FEE**

4. ☒ Attached is check in the amount of \$ 180.00  
☐ Charge Account No. \_\_\_\_ in the amount of \$ \_\_\_\_  
A duplicate of this request is attached.


The submission of any document herewith is not intended as an admission that such document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 CFR §1.56(b). Applicant does not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* prior art reference against the claims of the present application.

If any additional fees are due, please charge Account No. 06-2360.

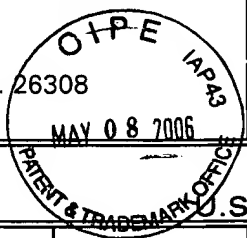
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Signature of Attorney  
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\_\_\_\_\_  
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Mailing Address of Sender

<b>LIST OF PRIOR ART CITED BY APPLICANT</b> <i>(Use several sheets if necessary)</i>  Customer No. 26308	ATTY DOCKET NO. 9345.17121-CIP A	SERIAL NO. 09/935,908
	APPLICANT Thompson et al.	
	FILING DATE 23 August 2001	GROUP 3737



### U.S. PATENT DOCUMENTS

Examiner Initial	DOCUMENT NUMBER	Date	Name	Class	Subclass	Filing Date (If Appropriate)
	5,291,894	03/1994	Nagy			
	5,695,460	12/1997	Siegel et al.			
	5,725,482	03/1998	Bishop			
	2003/0157025	08/2003	Unger et al.			
	5,580,575	12/1996	Unger et al.			
	6,477,426	11/2002	Fenn et al.			
	6,682,502	01/2004	Bond et al.			
	6,635,017	10/2003	Moehring et al.			
	5,024,829	06/1991	Berger et al.			

### FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTRY	Class	Subclass	Translation Yes No
JP8089549	04/1996	JP			
WO 85/03634	08/1985	PCT			

### OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)

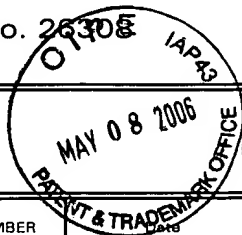
			Koiwa et al., "The effect of diastolic vibration on the coronary flow rate in the canine heart with ischemia" <i>Journal Cardiovasc Diagn Procedures</i> , 12; p. 110
			Lindblad et al., "Effect of Vibration on a Canine Cutaneous Artery," <i>Am J. Physiol.</i> 250 H519-H523 (1986)
			Ljung et al., "Inhibition of Vascular Smooth Muscle Contraction by Vibrations" <i>Abstract Acta Physiol. Scand.</i> , 396, Suppl., p. 95 (1973)
			The "VitaFon Device," VitaFon Company, <a href="http://www.vitaFon.net">www.vitaFon.net</a>
			Zagzebski, "Essentials of Ultrasound Physics," <i>Physics of Diagnostic Ultrasound</i> , p. 5

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this of with next communication to applicant.

LIST OF PRIOR ART CITED BY APPLICANT (Use several sheets if necessary)	ATTY DOCKET NO. 9345.17121-CIP A	SERIAL NO. 09/935,908
	APPLICANT Thompson et al.	
	FILING DATE 23 August 2001	GROUP 3737

Customer No. 26305



### U.S. PATENT DOCUMENTS

Examiner Initial	DOCUMENT NUMBER	Date	Name	Class	Subclass	Filing Date (If Appropriate)
	5,720,304	02/1998	Omura			
	5,190,766	03/1993	Ishihara			
	2003/0204141	04/2002	Nock et al.			

### FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTRY	Class	Sub-class	Translation Yes No

### OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)

			Ng, K. et al., "Therapeutic Ultrasound: Its Application in Drug Delivery"; Medicinal Research Reviews, Vol. 22, No. 2, 204-223, 2002
			Tachibana, K. et al., "The Use of Ultrasound for Drug Delivery"; Echocardiography, Vol. 18, May 2001.
			Hull, W. et al., "Heat-Enhanced Transdermal Drug Delivery: A Survey Paper"; The Journal of Applied Research, Vol. 2, No. 1, Winter 2002.
			International Cancer Research Portfolio ABSTRACT - award funding period 01-15-99 to 12-31-02, award code CA076562.
			Cho, C.W., et al, "Ultrasound induced mild hyperthermia as a novel approach to increase drug intake in brain microvessel endothelial cells", Pharm Res. 2002 Aug;19(8);1123-9
			Internet article: "Good Vibrations Personal Energiser Pty Ltd. - Vita fon-IR" (Google Web address)
EXAMINER			DATE CONSIDERED

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